

55-14-31

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Approved for use through 10/31/2002 OMB 0951-0032  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	031926.0009.UTL
First Inventor	Gayle R. Link, et al.
Title	Optical Wavelength Router
Express Mail Label No.	EL 675945425 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification  
(preferred arrangement set forth below) [Total Pages 58]  
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 73]
- ☒ Oath or Declaration [Total Pages 3]
  - ☒ Newly executed (original or copy)
  - ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
- ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☒ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
- ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
- ☒ Other: Verified statement claiming small entity status

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_  
Prior application information. Examiner. Group Art Unit.

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	23865	or	<input checked="" type="checkbox"/> Correspondence address below
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	Brobeck, Phleger & Harrison LLP		
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City	San Diego	State	CA
		Zip Code	92130-2081
Country	USA	Telephone	858/720-2500
		Fax	858/720-2555

Name (Print/Type)	Anatoly Weiser	Registration No. (Attorney/Agent)	43,229
Signature	<i>Anatoly Weiser</i>	Date	5/10/01

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SDIL91U/B09/37323 01(802301) (DOC)

11040 U.S. PTO  
09/85337  
05/10/01

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<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2001</h2>		<b>Complete if Known</b>	
<i>Patent fees are subject to annual revision.</i>		Application Number    To be assigned	
<b>TOTAL AMOUNT OF PAYMENT</b> <b>(\$)768.00</b>		Filing Date    Herewith	
		First Named Inventor    Gayle R. Link, et al.	
		Examiner Name    To be assigned	
		Group Art Unit    To be assigned	
		Attorney Docket No.    031926.0009.UTL	

<b>METHOD OF PAYMENT</b>	<b>FEE CALCULATION (continued)</b>
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<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated</p> <p>Deposit Account Number    50-1273</p> <p>Deposit Account Name    Brobeck, Phleger &amp; Harrison LLP</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p><input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed:</p> <p><input checked="" type="checkbox"/> Check    <input type="checkbox"/> Credit card    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p>	<p>3. <b>ADDITIONAL FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Fee Code</th> <th>Large Entity (\$)</th> <th>Small Entity (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>105</td> <td>130</td> <td>205</td> <td>65 Surcharge - late filing fee or oath</td> <td></td> </tr> <tr> <td>127</td> <td>50</td> <td>227</td> <td>25 Surcharge - late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>139</td> <td>130</td> <td>139</td> <td>130 Non-English specification</td> <td></td> </tr> <tr> <td>147</td> <td>2,520</td> <td>147</td> <td>2,520 For filing a request for <i>ex parte</i> reexamination</td> <td></td> </tr> <tr> <td>112</td> <td>920*</td> <td>112</td> <td>920* Requesting publication of SIR prior to Examiner action</td> <td></td> </tr> <tr> <td>113</td> <td>1,840*</td> <td>113</td> <td>1,840* Requesting publication of SIR after Examiner action</td> <td></td> </tr> <tr> <td>115</td> <td>110</td> <td>215</td> <td>55 Extension for reply within first month</td> <td></td> </tr> <tr> <td>116</td> <td>390</td> <td>216</td> <td>195 Extension for reply within second month</td> <td></td> </tr> <tr> <td>117</td> <td>890</td> <td>217</td> <td>445 Extension for reply within third month</td> <td></td> </tr> <tr> <td>118</td> <td>1,390</td> <td>218</td> <td>695 Extension for reply within fourth month</td> <td></td> </tr> <tr> <td>128</td> <td>1,890</td> <td>228</td> <td>945 Extension for reply within fifth month</td> <td></td> </tr> <tr> <td>119</td> <td>310</td> <td>219</td> <td>155 Notice of Appeal</td> <td></td> </tr> <tr> <td>120</td> <td>310</td> <td>220</td> <td>155 Filing a brief in support of an appeal</td> <td></td> </tr> <tr> <td>121</td> <td>270</td> <td>221</td> <td>135 Request for oral hearing</td> <td></td> </tr> <tr> <td>138</td> <td>1,510</td> <td>138</td> <td>1,510 Petition to institute a public use proceeding</td> <td></td> </tr> <tr> <td>140</td> <td>110</td> <td>240</td> <td>55 Petition to revive - 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<b>FEE CALCULATION</b>	
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<p>1. <b>BASIC FILING FEE</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Fee Code</th> <th>Large Entity (\$)</th> <th>Small Entity (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>101</td> <td>710</td> <td>201</td> <td>355 Utility filing fee</td> <td>355.00</td> </tr> <tr> <td>106</td> <td>320</td> <td>206</td> <td>160 Design filing fee</td> <td></td> </tr> <tr> <td>107</td> <td>490</td> <td>207</td> <td>245 Plant filing fee</td> <td></td> </tr> <tr> <td>108</td> <td>710</td> <td>208</td> <td>355 Reissue filing fee</td> <td></td> </tr> <tr> <td>114</td> <td>150</td> <td>214</td> <td>75 Provisional filing fee</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td><b>(\$)355.00</b></td> </tr> </tbody> </table> <p>2. <b>EXTRA CLAIM FEES</b></p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>57</td> <td>-20** = 37</td> <td>8.00</td> <td>333.00</td> </tr> <tr> <td>4</td> <td>-3** = 1</td> <td>40.00</td> <td>40.00</td> </tr> </tbody> </table> <p>Multiple Dependent</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Small Entity Fee Code</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>103</td> <td>18</td> <td>203</td> <td>9 Claims in excess of 20</td> <td></td> </tr> <tr> <td>102</td> <td>80</td> <td>202</td> <td>40 Independent claims in excess of 3</td> <td></td> </tr> <tr> <td>104</td> <td>270</td> <td>204</td> <td>135 Multiple dependent claim, if not paid</td> <td></td> </tr> <tr> <td>109</td> <td>80</td> <td>209</td> <td>40 ** Reissue independent claims over original patent</td> <td></td> </tr> <tr> <td>110</td> <td>18</td> <td>210</td> <td>9 ** Reissue claims in excess of 20 and over original patent</td> <td></td> </tr> <tr> <td colspan="4" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td><b>(\$)373.00</b></td> </tr> </tbody> </table>	Fee Code	Large Entity (\$)	Small Entity (\$)	Fee Description	Fee Paid	101	710	201	355 Utility filing fee	355.00	106	320	206	160 Design filing fee		107	490	207	245 Plant filing fee		108	710	208	355 Reissue filing fee		114	150	214	75 Provisional filing fee		<b>SUBTOTAL (1)</b>				<b>(\$)355.00</b>	Total Claims	Extra Claims	Fee from below	Fee Paid	57	-20** = 37	8.00	333.00	4	-3** = 1	40.00	40.00	Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid	103	18	203	9 Claims in excess of 20		102	80	202	40 Independent claims in excess of 3		104	270	204	135 Multiple dependent claim, if not paid		109	80	209	40 ** Reissue independent claims over original patent		110	18	210	9 ** Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>				<b>(\$)373.00</b>	<p>Other fee (specify)    <b>SUBTOTAL (3)</b>    <b>(\$)40.00</b></p>
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\*\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

<b>SUBMITTED BY</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)    Anatoly Weiser	Registration No. (Attorney/Agent)    43,229	Telephone    (856) 720-2500	
Signature <i>Anatoly Weiser</i>		Date    May 10, 2001	

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UTILITY APPLICATION

UNDER 37 CFR § 1.53(B)

TITLE: OPTICAL WAVELENGTH ROUTER

APPLICANT(S): LINK, R. GAYLE; MARTIN, CALVIN J.; GILLS, ZELDA;  
ROBERSTON, DEREK; SHUTE, MARCUS W.

Correspondence Enclosed:

Utility Application Transmittal Sheet and FY 2001 Fee Transmittal Sheet (2 pgs); Cover Sheet (1pg); Specification (37 pgs); Claims (28 pgs); Drawings Figures 1-9 (10 pgs); Abstract (1 pg); Verified Statement Claiming Small Entity Status (1pg); Declaration (3pgs); Recordation Form Cover Sheet (3pgs); Original Assignment (6pgs); Grant of Power of Attorney (2pgs); and Return Postcard

PRIORITY DATA: Under U.S.C. 119(e)(1) this application claims the benefit of U.S. Provisional Patent Application Serial 60/222,082, filed August 1, 2000; U.S. Provisional Patent Application Serial 60/222,155, filed August 1, 2000; U.S. Provisional Patent Application Serial 60/245,367, filed November 2, 2000; U.S. Provisional Patent Application Serial 60/234,571, filed September 22, 2000; U.S. Patent Application Serial 09/810,921, filed March 16, 2001; U.S. Patent Application Serial 09/811,327, filed March 16, 2001.

"EXPRESS MAIL" Mailing Label Number EL675945425US Date of Deposit May 10, 2001 I hereby certify under 37 CFR §1.10 that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" with sufficient postage on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

  
Jeff Beno